

GEORGIA DEPARTMENT OF LABOR  
EMPLOYMENT SECURITY AGENCY  
ADMINISTRATIVE SERVICES DIVISION  
RECORDS MANAGEMENT AND CONTROLS

4657-39  
17

APPLICATION FOR  
AMENDMENT TO RECORDS RETENTION SCHEDULE

Application Number

81-436

Application Date:

Dec. 16, 1981

FOR STATE RECORDS MANAGEMENT DIVISION USE

Date Received

Application No.

Date Completed

MAR 30 1982

81-436-A

APR 16 1982

Record Series Title: Balance of State, Public Service  
Employment Area Plans, Statistical and Financial  
Status Reports for Titles II, IID, and VI

Person to Contact: Peggy Ray

Item number to be amended:  
#12

Telephone No. 656-3157

Reads as follows: "Cut off at the fiscal year, hold in CFA 12 months, transfer to State Records Center, hold 2 years, then destroy. Except before transferring to the State Records Center, separate participant characteristics summaries and annual statistical reports of each prime sponsor and agency under Balance of State; transfer to State Archives for permanent retention."

Amended to read: "After closeout of funding, transfer records to State Records Center; hold two years and until satisfactory completion of all audit requirements; then destroy."

Reason for change: 1) Records retain only value for potential federal audit of planning function; 2) participant characteristic summaries and annual statistical reports are copies and will be found in Training Division as a record copy.

AUTHORITY:

Division Director/Designee:

*John A. Dick*

Date

3/23/82

Records Management Officer (RM&C):

*Michael V. Buckley*

Date

3/23/82

ESA Director:

*Walt Brown*

Date

3/23/82

State Auditor/Designee:

*Wm. D. Dyer*

Date

4-14-82

Secretary of State/Designee:

*Carroll Hunt*

Date

4-12-82

Attorney General/Designee:

*Angus Thayer*

Date

4-15-82



## APPLICATION FOR RECORDS RETENTION SCHEDULE

Georgia Department of Labor  
Employment Security Agency  
Administrative Services Division  
Records Management and Controls

INSTRUCTIONS: The Records Management Officer of the Agency's Records Management and Controls Unit will be of assistance in completing this form. After Division Director/Designee has signed the form, forward original to Administrative Services Division, Records Management and Controls, 130 Memorial Drive, S. W., Atlanta, Georgia 30303. Attention: Records Management Officer

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Georgia Department of Labor Georgia Balance-of-State 501 Pulliam Street, Room 150 Atlanta, Georgia 30312	Application Number <b>81-436</b>	Date Received OCT 26 1981
Application Number		Date Completed DEC 16 1981	
2. Person to Contact <b>Bob Smith</b>		Working Title <b>Supervisor</b>	Telephone Number <b>656-3157</b>
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest _____ Latest _____ FY-1975   FY-1981		5. Records Series Title (followed by title used in office, if different) Balance of State, Public Service Employment Area Plans, Statistical and Financial Status Reports for Titles II, II D and VI	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Planning Division completes Master and Annual Plans for Balance-of-State Prime Sponsor to be submitted to the U.S. Department of Labor for funding various titles under the Comprehensive Employment and Training Act. Public Service Employment provides work/training to economically disadvantaged, long term unemployed individuals. The Titles for PSE were both terminated April 3, 1981 with no future possibilities of funding. Therefore, the back up area material for PSE can now be stored until administrative need is satisfied.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: Balance-of-State Public Service Employment files to Title II, IID and VI.  Included are: Area Plans and Correspondence; Statistical Reports which include Program Planning Summaries, Quarterly Reports, Participant Characteristic Reports; and Financial Status Reports.  File is arranged: By Title, by fiscal year and by area.			
8. Monthly Reference Rate One to six months old <u>-0-</u> ; Seven to twelve months old <u>-0-</u> ; Thirteen to twenty-four months old <u>-0-</u> ; twenty-five months and older <u>-0-?</u> How often are records referred to which are:			
9. Annual Rate of Accumulation of Records Letter-size drawers <u>X</u> ; Legal-size drawers _____; Shelves _____; Other (specify) _____			

(Over)

ESA-144 (3/80)  
(AR-50-71)

YES	NO	10. Questionnaire (Place an "X" in the proper column)
	X	a. Is this the official copy of the series? If not, where is it? <b>Contracts Section - Training Division</b>
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
X		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy. <b>CETA Annual Report to Governor</b>
X		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? <b>See 10 a</b>
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

#### 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                 |
|--------------------------|--------------|-----------------------------------|-----------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years.    |
| b. Statute of limitation | _____ years. | e. Administrative need            | <u>3</u> years. |
| c. Federal Law           | _____ years. | f. Federal retention instructions | _____ years.    |

Attach copy or excerpt of laws or regulations. Explain administrative need.

Back-up information. For reference to body of information which is essentially the same as in the contracts section of the Training, but physically distant and actively in use elsewhere.

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other \_\_\_\_\_ then.

☒ Hold in the current files area 12 month(s) \_\_\_\_\_ year(s); then

☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then

☒ Transfer to State Records Center; hold 2 year(s); then

Earlier Disposal or Transfer to the Records Center authorized.

☒ Destroy.

☐ Transfer to State Archives for permanent retention.

☒ Other (Specify)

EXCEPT THAT: before transferring to State Records Center, separate participant characteristics summaries and annual statistical reports of each prime sponsor and agency under Balance of State; then transfer these to State Archives for permanent retention.

These instructions apply to all prior and future accumulations of the series.

Division Director/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Philip A. Jones</i>	10/1/81	<i>William B. Johnson</i>	10-13-81
RA Director (Signature)	Date	State Records Committee (Signature)	Date
<i>Walter B. Jones</i>	10/1/81	<i>[Signature]</i>	10/13/81
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)	State Auditor/Designee	Secretary of State/Designee	Attorney General/Designee
	<i>[Signature]</i>	<i>Carroll Hart</i>	<i>[Signature]</i>
			12-8-81
			12-7-81
			12-14-81

(Reverse Side)